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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/753,755	01/03/2001	Peter Ian Moss	5538/1020	1885

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EXAMINER

NGUYEN, NGA B

ART UNIT	PAPER NUMBER
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3628

DATE MAILED: 06/09/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/753,755	<b>Applicant(s)</b> MOSS ET AL.	
	<b>Examiner</b> Nga B. Nguyen	<b>Art Unit</b> 3628	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 03 January 2001.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-18, 21 and 22 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-18, 21 and 22 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☒ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>3/23/01</u> . | 6) <input type="checkbox"/> Other: _____  |

**DETAILED ACTION**

1. This Office Action is in response to the communication filed on January 3, 2001, which paper has been placed of record in the file.
2. Claims 1-18, 21, and 22 are pending in this application.

***Information Disclosure Statement***

3. The information disclosure statement (IDS) submitted on March 23, 2001 and June 18, 2003, are being considered by the examiner.

***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

5. Claims 1-18, 21, and 22 are rejected under 35 U.S.C. 102(e) as being anticipated by May, U.S. Patent No. 6,421,653.

Regarding to claim 1, May discloses a computerized trading system for the trading of financial instruments or commodities comprising:

a central server for connecting a plurality of workstations, each workstation associated an institution (figure 1, central processing center 12 connected to a plurality of trader workstations 20);

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a means for storing a plurality of generalized institution status indicators, each indicator indicating a non-specific attribute of the respective institution without identifying the institution itself (column 12, lines 58-65 and column 47, lines 5-32; the group server 32 stores anonymous credit preference of the counterparties);

a plurality of trader workstations each connected to the central server and associated with a respective institution (figure 1, central processing center 12 connected to a plurality of trader workstations 20), each workstation including:

a means for displaying current quotations in the market place indicating a willingness to accept a bid or offer (column 13, lines 35-55 and column 49, lines 5-35; trader workstation 20 includes the market entry interface 250 displaying the best bid and best offer for each instrument and allows the user to execute a trade);

a database maintaining a list of current quotations active on the trading system (column 14, lines 47-65; the trader workstation 20 includes a memory 90, a hard disk 98 for maintaining data); and

a filtration means for applying selected filtration criteria to inhibit display of current market quotations at a given workstation, based on the value of one or more of said generalized institution status indicators (column 10, lines 38-40 and column 48, lines 10-27).

Regarding to claim 2, May discloses a plurality of intermediate servers, each intermediate server associated with at least one said respective institutions and for connecting said workstations to the central server (figure 1; column 12, lines 12-25; column 15, lines 43-63; business unit server 18); .

Regarding to claim 3, May discloses the filtration means includes a storage means storing a counterparty definition file indicating values of said generalized institution status indicators which match trading counterparties not acceptable to the institution associated with a given workstation (column 17, lines 35-45 and column 48, lines 10-27).

Regarding to claim 4, May discloses the counterparty definition file is stored at said given workstation or at said intermediate server serving said given workstation (column 15, lines 57-63; business unit server 18 includes hard disk 126 storing the trader data profiles 128).

Regarding to claim 5, May discloses means at the given workstation for updating the counterparty definition file according to current trade and/or institution preferences (column 28, lines 31; credit preference interface 170 allows the user to update credit preference settings).

Regarding to claim 6, May discloses means at remote from a given workstation, for updating the counterparty definition file for said given workstation according to current institution preferences (column 12, lines 58-65; the group server mechanism 32 at the central processing center 12 updates the counterparty credit preference).

Regarding to claim 7, May discloses the generalized institution status indicators include one or more of: an indication of geographical origin of the counterparty, an indication of the level of the counterparty within an organizational hierarchy, an indication of the legal status of a counterparty, an indication of the political status of the counterparty, and an indication of an independent credit rating of the counterparty

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(column 29, lines 20-25; the credit preference indicates an independent credit rating of the counterparty).

Regarding to claim 8, May discloses the database maintaining the list of current quotations active on the trading system is provided at every intermediate server (column (column 15, lines 23-42).

Regarding to claim 9, May discloses each market quotation transmitted over the trading system includes a means for identifying a plurality of generalized institution status indicators which correspond to the institution originating the quotation (column 30, lines 40-67; each order is color coded according to the credit preferences).

Regarding to claim 10, May discloses each quotation transmitted includes originator generalized institution status indicators (column 30, lines 20-25; each order includes the order placer's business unit has set against business unit's legal entity).

Regarding to claim 11, May discloses each quotation transmitted to the central server includes an originating party identification, said originating party identification being removed and replaced by generalized institution status indicators prior to receipt by a workstation (column 33, lines 5-15).

Regarding to claim 12, May discloses the filtration means further includes means for applying selected filtration criteria to inhibit display of current market quotations at a given workstation, based on the value of one or more transaction type indicators (column 17, lines 35-45).

Regarding to claim 13, May discloses the filtration means further includes means for applying selected filtration criteria to inhibit display of current market

quotations at a given workstation, based on the financial value of the transaction (column 48, lines 10-27).

Regarding to claim 14, May discloses a computerized trading system for the trading of financial instruments or commodities comprising:

a central server for connecting a plurality of workstations (figure 1, central processing center 12 connected to a plurality of trader workstations 20);

a plurality of trader workstations each connected to the central server (figure 1, central processing center 12 connected to a plurality of trader workstations 20), each workstation including:

a means for generating quotations for transmittal to other workstations via said central server (column 35, lines 22-27 and column 36, lines 28-45; the market entry interface 250 allows the user to place new order),

a means for displaying current quotations in the market place including bids and offers (column 13, lines 35-55 and column 49, lines 5-35; trader workstation 20 includes the market entry interface 250 displaying the best bid and best offer for each instrument and allows the user to execute a trade), and

a means for generating response messages to originating workstations indicating acceptance of a quotation (column 38, lines 35-48, the execution notification message 340 is sent to both counterparties));

a database maintaining a list of current quotations active on the trading system. each quotation having associated therewith an ownership identification field indicating the identity of the originator of the active quotation, and a current keeper identification

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field indicating the identity of the workstation to which a quote acceptance message should be directed (column 13, lines 10-35; the central processing unit 12 includes a relational database 66 maintaining each trade workstation 20, user and business unit data, financial instrument definitions, order states, transaction states, etc...); and

a means for modifying the current keeper identification field independently of the ownership identification field (figures 18-19; see Executive ID).

Claims 15 and 17 are written in method that have similar limitations found in claims 1, 14 above, therefore, are rejected by the same rationale.

Claims 16 and 18 are written in computer program product that have similar limitations found in claims 15, 17 above, therefore, are rejected by the same rationale.

Regarding to claims 21-22, May discloses wherein the institution is a trading floor (column 10, lines 4-17).

### ***Conclusion***

6. Claims **1-18, 21, and 22** are rejected.

7. The prior arts made of record and not relied upon is considered pertinent to applicant's disclosure:

May (US 6,317,727) discloses method and system for monitoring credit risks in electronic trading.

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to examiner Nga B. Nguyen whose telephone number is (703) 306-2901. The examiner can normally be reached on Monday-Thursday from 9:00AM-6:00PM.



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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hyung S. Sough can be reached on (703) 308-0505.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 306-1113.

9. Any response to this action should be mailed to:

Commissioner of Patents and Trademarks

C/o Technology Center 3600

Washington, DC 20231

Or faxed to:

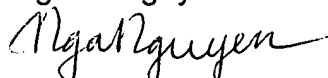
(703) 872-9326 (for formal communication intended for entry),

or

(703) 308-3691 (for informal or draft communication, please label "PROPOSED" or "DRAFT").

Hand-delivered responses should be brought to Crystal Park 5, 2451 Crystal Drive, Arlington, VA, Seventh Floor (Receptionist).

Nga B. Nguyen



May 27, 2004